

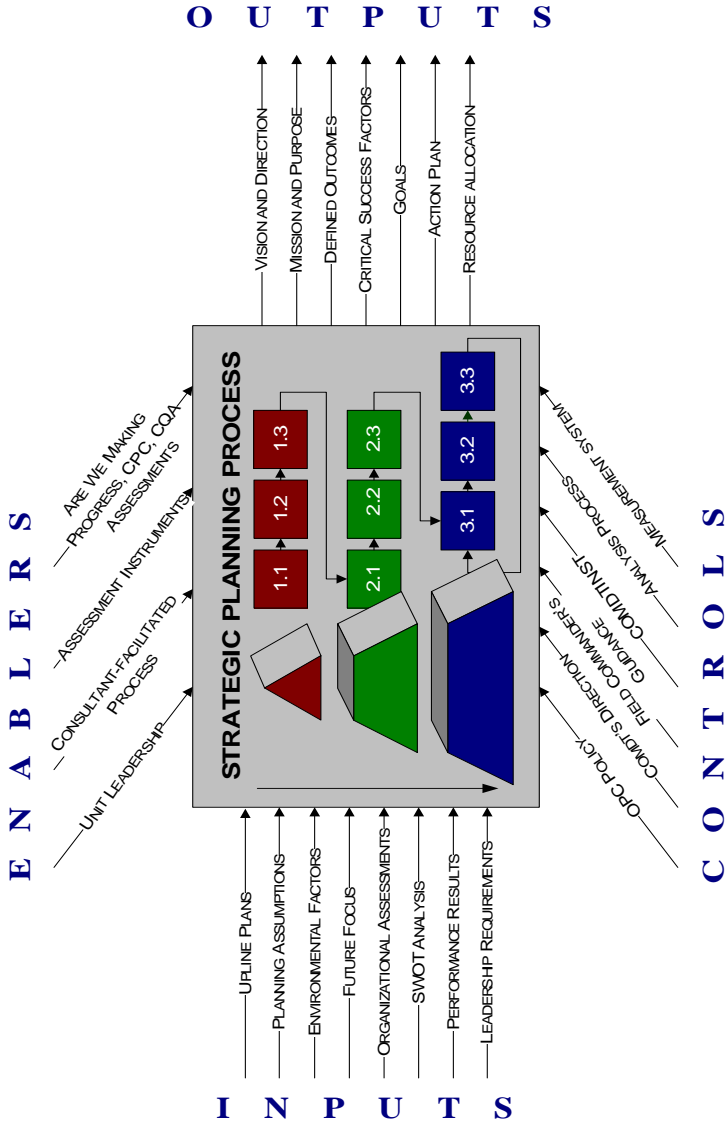
DEPARTMENT OF HOMELAND SECURITY
UNITED STATES COAST GUARD

Semper **P**aratus



**Strategic
Planning**

STRATEGIC PLANNING CONTEXT DIAGRAM



PROCESS ANALYSIS CHECKLIST

Setup: Items in the room:

<input type="checkbox"/> Tables/Chairs – U-Shape Setup	<input type="checkbox"/> A/V Table
<input type="checkbox"/> 3-4 Flipcharts	<input type="checkbox"/> Multi-Color Markers
<input type="checkbox"/> Post-It Notes (3x5)	<input type="checkbox"/> Drafting Tape

Setup: Items to bring with you:

<input type="checkbox"/> Agenda & Detailed Script	<input type="checkbox"/> Ground Rules
<input type="checkbox"/> Team-Building Exercise Material	<input type="checkbox"/> Sample Strategic Plan
<input type="checkbox"/> Strategic Planning Toolkit	<input type="checkbox"/> Video (IDEO or Similar)

Situation Analysis (pre-workshop exercise):

<input type="checkbox"/> Planning Assumptions	<input type="checkbox"/> Environmental Factors
<input type="checkbox"/> Future Focus	<input type="checkbox"/> Performance Results
<input type="checkbox"/> Assessments	<input type="checkbox"/> SWOT Analysis

Develop Guiding Documents:

<input type="checkbox"/> Define the Mission	<input type="checkbox"/> Review Existing Mission Statement <input type="checkbox"/> If Mission Is to Be developed: <input type="checkbox"/> Complete Mission Worksheet <input type="checkbox"/> Common Themes <input type="checkbox"/> Final Mission Statement Editing
<input type="checkbox"/> Develop the Vision	<input type="checkbox"/> Five Questions Exercise <input type="checkbox"/> Common themes <input type="checkbox"/> Final Vision Statement Editing
<input type="checkbox"/> Review the Values	<input type="checkbox"/> Review the Coast Guard Core Values

Define the Strategy:

<input type="checkbox"/> Define Outcomes	<input type="checkbox"/> Identify Stakeholders (Stakeholder Map) <input type="checkbox"/> Define Stakeholder Expectations (Escalator Exercise) <input type="checkbox"/> Develop Outcomes
<input type="checkbox"/> Identify Critical Success Factors	<input type="checkbox"/> Review Outcomes <input type="checkbox"/> Identify CSFs <input type="checkbox"/> Reduce to the <i>Critical Few</i> CSFs
<input type="checkbox"/> Develop Long-Range Goals	<input type="checkbox"/> Create Goals <input type="checkbox"/> Audit Goals

Develop the Action Plan and Execute:

<input type="checkbox"/> Develop Strategies and Tactics	<input type="checkbox"/> Develop Strategies <input type="checkbox"/> Develop Tactics <input type="checkbox"/> Establish an Action Plan
<input type="checkbox"/> Allocate Strategic Resources	<input type="checkbox"/> Identify Non-discretionary Funding <input type="checkbox"/> Present Division Action Plan <input type="checkbox"/> Refine Action Plan and Resources
<input type="checkbox"/> Monitor Progress and Execution	<input type="checkbox"/> Execute Strategies and Tactics <input type="checkbox"/> Conduct Periodic Strategy/Progress Review Meetings

STRATEGIC PLANNING

DESCRIPTION: The process by which organizations clarify their mission, develop a vision, articulate their values, and establish long-, medium-, and short-term goals and objectives.

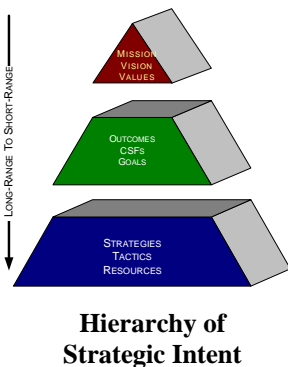
USE THIS TOOL: Annually, to help a Coast Guard organization (Area, District, Sector, department, command, or unit) develop a strategic plan.

DEGREE OF DIFFICULTY: *Beginner to Practitioner Level*

INTRODUCTION

This booklet provides guidance on facilitating a strategic planning effort, including preparation, guiding-document development, strategy definition, action planning, and execution. The booklet is to be used as a stand-alone document or in tandem with other booklets. The reader should note that there is some overlap between the *Strategic Planning* and *Action Planning* booklets, especially as they relate to strategy and tactic development or action planning. OPCs should familiarize themselves with both references.

The Strategic Planning Process presented in this booklet is based on the *Hierarchy of Strategic Intent* shown in the centerfold. At the top of the hierarchy is the organization's Mission and Vision, both of which should be long lasting and motivating. At the bottom of the hierarchy are the short-term strategies and tactics that unit members will use to achieve the Vision.



One convenient way of thinking about the Hierarchy follows:

If you ever need to ask “Why” the organization is doing something, you should be able to look up the hierarchy for validation (e.g., we have Outcomes that we are trying to achieve with our Tactics). If you ever need to ask “How” the organization will accomplish something, you should be able to look down the hierarchy (e.g., our Strategies will help us achieve our Critical Success Factors).

Below is a list of the primary steps in the Strategic Planning process:

- Step 1.0** Develop Guiding Documents. Covers Mission, Vision, and Values Statement development. If they are already in place, organizations should review them in preparation for strategic planning.
- Step 2.0** Define the Strategy. This step is the heart of the strategy development process. It establishes the Outcomes and Critical Success Factors and outlines the Goals to accomplish both.
- Step 3.0** Develop the Action Plan and Execute. To avoid the “Execution Gap,” organizations must perform Action Planning in a disciplined manner and Execute the plan with accountability. This step covers action plan development, resource allocation, and deployment.

SITUATION ANALYSIS AND STRATEGIC ALIGNMENT

Prior strategic planning, the organization should study the all factors that may affect the organization during its target time-frame. The organization should align its strategic plan with efforts up and down the chain of command in such a way that it maintains a “unity of effort” or common strategic intent. This analysis focuses on the following.

- **Planning Assumptions:** resource constraints, strategic challenges, organization sustainability issues, and emergency business continuity
- **Environmental Factors:** Coast Guard strategic, operational, and tactical plans; and financial, societal, ethical, regulatory, and technological risks
- **Future Focus:** Major shifts in technology, missions, or the regulatory and competitive environments (particularly those derived from up-line plans)
- **Performance Metrics:** such as the status of the mission/operational performance and other key measures of effectiveness
- **Assessments:** OAS; CPC; audit findings; strategic capability; and organizational strengths, weaknesses, opportunities, and threats

PROCESS STEPS

1.0 DEVELOP GUIDING DOCUMENTS

Once the organization is ready to plan, it should revisit its Guiding Documents; that is, the Mission, Vision, and Values Statements. Many organizations already have these documents in place. Because the documents are long-lasting, they may only require slight adjustments to respond to

changes in the operational or competitive environments. Reviewing them will reorient the planning team toward this enhanced future state. If the documents do not exist, they must be developed before any other planning can occur. The essential steps in this process are:

DETAILED CHECKLIST		TOOLS
1.1	Define the Mission	Mission Worksheet
1.2	Develop the Vision	Five Vision Questions
1.3	Review the Values	Values Alignment Worksheet



STEP 1: Develop Guiding Documents

1.1

DEFINE THE MISSION

A **Mission** refers to why an organization exists – its reason for being or purpose. Generally, for most military organizations, the mission is clear and unambiguous. Well-articulated Mission Statements are those that clarify:


- For Members – What to expect and how they fit in;
- For Customers – What the products and services are;
- For Leaders – How to direct decision-making.

A **Mission Statement** must:

- Be clear and understandable;
- Be brief enough for people to keep it in mind;
- Reflect the organization’s distinctive competency;
- Be broad enough to allow implementation flexibility;
- Be narrow enough to maintain a sense of focus;
- Be a template by which members can make decisions;
- Reflect organization values, beliefs, and philosophy.

DEVELOP THE MISSION STATEMENT

A Mission Statement is a formal written document that describes the organization’s reason for being. It provides

 Refer to the Organizational Effectiveness Toolset (CD): *Mission Statement Worksheet*

clarity of purpose to employees and is meant to stay in effect for an extended period of time. To develop a Mission Statement, OPCs should facilitate the following process with a team specifically selected for this purpose.

1. Individually, complete a Mission Statement Worksheet.
2. As a group, share individual Mission Statements.
3. Identify common themes and *must haves*.
4. If useful, choose and modify an individual Statement.
5. Devote 5-10 minutes to refining the chosen Statement.
6. Check the refined Statement against the criteria.
7. Select a sub-team to finalize the Statement offline.


1.2



DEVELOP THE VISION

Vision refers to the category of intentions that are broad, all inclusive, and forward thinking. A Vision should:

- Provide aspirations for the future;
- Provide the mental image of some desired future state;
- Appeal to everyone's emotions and aspirations.


 Refer to the Organizational Effectiveness Toolset (CD): *Five Vision Questions*

BRAINSTORM INDIVIDUAL AND COLLECTIVE LEGACY

Start by defining *the organization* (i.e., for which the Vision is being developed). A Vision can be developed for an organization that is a subgroup of a larger organization (which has a separate, broader, and more inclusive Vision). Subgroup Visions must be aligned with and mutually supportive of the larger group's Vision. Ask the group to quietly and honestly list their own responses to the five questions below. Tell the participants they will be asked to share their answers to Questions 4 and 5 with the group.

The Five Vision Questions

1. What do you like about being part of the organization?
2. What do you like about the organization's profession?
3. When the organization is at its best, why do you like it?
4. **What legacy would you like to leave behind?**
5. **What legacy should we collectively leave behind?**

 *Vision Questions are used to develop a shared Vision.*

REPORT INDIVIDUAL RESPONSES TO THE GROUP

Once everyone has had a chance to silently brainstorm, go around the room one-at-a-time and have participants share

their responses to Questions 4 and 5 with their colleagues. The following ground rules apply.


- Speak from the heart
- Listen carefully
- Seek first to understand (clarifying questions only)
- Do not evaluate responses

IDENTIFY COMMON VISION THEMES

As a group, identify the common themes that came out of the responses to the questions. Facilitate discussion until all key elements have been fully developed and are clear to all.

FINALIZE VISION STATEMENT OFFLINE

Select a smaller team to work on finalizing the Vision Statement offline. The team will use the responses and common themes as input to develop several strawman Vision Statements for the group's approval. The simple act of developing these concepts within the group will provide enough direction to continue moving forward in developing the strategic plan.

 **Trick of the Trade:** *Never wordsmith in a group! You'll kill momentum.*

Why Does a Unit Need Its Own Vision?

Unit leaders often resist developing a Vision Statement. Many feel that their Vision should be the Commandant's Vision or the District Commander's Vision. They are correct to the extent that a unit's Vision must be aligned with and in support of those higher in the chain of command. However, many of these *upline* Visions are too broad or all encompassing to be relevant to the folks on a single unit's mess deck. The leader's job is to describe the upline Vision in terms that are relevant to the unit.

A good Vision for a field unit should span a couple of CO's tours or about five years. A five-year Vision is often a *reach* for a field unit and is generally long enough to hold a crew's focus. It is also a realistic time frame given the ever-changing nature of the Coast Guard's Mission and the Commandant's Agenda.

1.3



REVIEW THE VALUES

Values are the essence of the organization. They determine who we are, and who we are determines what we do. Values affect:

- Decision-making;
- Risk taking;
- Goal setting;
- Problem solving;
- Prioritization.

Value |'val-yü|:

A principle or quality that is intrinsically desirable.



If values must be created, refer to the Organizational Effectiveness Toolset (CD):

Values Alignment Worksheet

Core Values are those values which form the foundation on which we perform work and conduct ourselves. The values underlie how we interact with one another, and which strategies we use to fulfill our mission. Core values are essential and enduring and cannot be compromised.

Any strategy session should begin with a review of the Coast Guard's Core values, listed below. The organization's Mission and Vision, as well as other aspects of the Hierarchy of Strategic Intent, should be aligned with these values. Because these values are so pervasive, we do not recommend that units develop their own, but rather assess how/if it behaves consistent with and reinforces these values.

U.S. Coast Guard Values

Honor. Integrity is our standard. We demonstrate uncompromising ethical conduct and moral behavior in all of our personal actions. We are loyal and accountable to the public trust.

Respect. We value our diverse workforce. We treat one another with fairness, dignity, and compassion. We encourage individual opportunity and growth. We encourage creativity through empowerment. We work as a team.

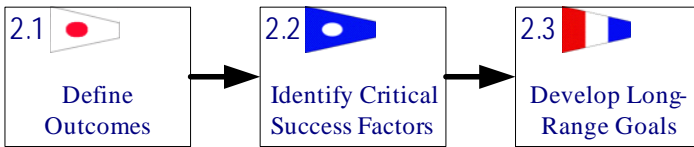
Devotion to Duty. We are professionals, military and civilian, who seek responsibility, accept accountability, and are committed to the successful achievement of our organizational goals. We exist to serve. We serve with pride.

2.0 DEFINE THE STRATEGY

Defining the Strategy is inherently a leadership responsibility. While Action Planning can be jointly accomplished by organizational leaders and front-line individuals, Coast Guard unit leaders cannot delegate strategy development.


Developing strategy encompasses defining Outcomes from the Stakeholder’s perspective, identifying Critical Success Factors, and developing Goals for the 18- to 36-month time horizon. These elements of the Strategic Plan lay the groundwork for all strategic activities within the command. The following outlines essential steps in this process.

DETAILED CHECKLIST		TOOLS
2.1	Define Outcomes	Stakeholder Map Escalator Exercise
1.2	Identify Critical Success Factors	Brainstorming
1.3	Develop Long-Range Goals	Brainstorming



Step 2: Define the Strategy

2.1 DEFINE OUTCOMES

 **Note:** A popular method of ensuring multiple perspectives is the “Balanced Scorecard” approach developed by Kaplan and Norton, 1996.

Outcomes are the observable results that provide evidence the organization is moving toward its Vision and achieving its Mission:

- Outcomes point to the impact the organization has, as opposed to the activities in which it engages.
- Outcomes should be derived from Stakeholder perspectives. They should be expressed as what stakeholders want to see from the organization.
- Outcomes should encompass multiple stakeholder perspectives to ensure they are “balanced.”

Outcomes are not fully under the organization’s control. Many factors outside its control can influence outcomes.

However, if outcomes are well defined and continually focused upon, *they can be attained more often than not!*

IDENTIFY STAKEHOLDERS

1. Begin by asking:
 - Who has an interest in the organization?
 - Who cares whether the organization succeeds?
2. Participants can answer these questions on sticky notes (putting one stakeholder group name on each). When finished, they can randomly place the notes on butcher-block paper or a whiteboard.
3. A subset of the participants can then silently “affinitize” the stakeholder groups by clustering similar groups into categories. Attempt to create six to eight categories and then name them.
4. Display these relationships in a Stakeholder Map.



Refer to the CG PIG: *Affinity Diagram*



Refer to the Organizational Effectiveness toolset (CD): *Stakeholder Map*

DEFINE STAKEHOLDER EXPECTATIONS

1. Break the participants into groups; assign one of the primary stakeholder groups previously defined to each breakout group.
2. Ask the groups to envision themselves riding up a crowded escalator. Tell them: On the stairs ahead are two members of your assigned stakeholder group. The stakeholders are talking about your organization but do not realize you are there. They are discussing their experience with your organization, as you’ve defined it in its enhanced future state.
3. Ask: What do you want to hear them say?
4. Each group then reports out the top two or three stakeholder quotes that most represent a future desired outcome. Record key items or common themes that cut across groups.



Escalator Exercise:

Can be used to identify Stakeholder wants and needs.



Common Themes are created by finding numerous recurring ideas in a focused topic area.

DEVELOP OUTCOMES

1. Identify five to seven common outcome themes. Assign breakout groups to develop them into Outcomes Statements. Outcome Statements should be measurable and directly reflect the Vision.

2. Ask each group to report their outcomes. Take comments, but do not allow the group to wordsmith.
3. Assign an individual or small team to finalize the Outcome Statements offline.

2.2



IDENTIFY CRITICAL SUCCESS FACTORS

CSFs are what the organization *must absolutely do right, or manage well*, if it is to achieve its Outcomes.

- Organizations may not control all factors leading to outcomes, however, CSFs are wholly within their control. CSFs generally relate to processes, people, or technologies that enable Outcome achievement.
- CSFs are leading indicators for Outcomes. Successful organizations know their CSFs and how they affect Outcomes. These causal relationships are monitored and reinforced through a robust measurement system.
- Until cause-effect relationships are identified, CSFs are no more than a management hypothesis based on individual experience, theory, or background. Measurement can be used to validate these hypotheses.



Refer to the
CG PIG:
Brainstorming

IDENTIFY CSFs

Develop a list of potential CSFs by asking the group:

- What must you absolutely do right, or have go well, to achieve the Outcomes just developed?
- What is within our ability to control?

REDUCE TO THE CRITICAL FEW CSFs

If breakout groups are used, each group should report their top CSFs. Then, together, the larger group should identify common themes, paring the list down to three to four total.

2.3



DEVELOP LONG-RANGE GOALS

Goals are intentions that make the Vision, Mission, and Outcomes more actionable. They typically encompass a much shorter time frame than does a Vision or an Outcome. Goals should address all organization aspects, including mission, operations, customer, process, people, and resources. They should facilitate reasoned trade-offs and be achievable. Goals usually cut across functions and can counteract sub-optimization.

CREATING GOALS

1. Review the below three sets of previously developed material.
 - Outcomes – Ensure the Goals are directly aligned with and support the Outcomes.
 - Critical Success Factors – Put goals into place to ensure its CSFs achievement.
 - SWOT Analysis (see callout box) – Find strengths that line up with opportunities; establish goals that leverage strengths to exploit opportunities; identify weaknesses that line up with threats; establish goals that mitigate weaknesses and, consequently, reduce threats.

SWOT Analysis

Strengths: Internal aspects of your organization that will help you achieve your Outcomes and CSFs.

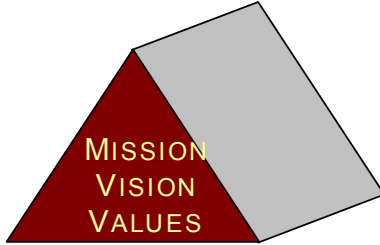
Weaknesses: Internal aspects of your organization that will impede your ability to achieve your Outcomes and CSFs.

Opportunities: External events/happenings that may help you to achieve your Outcomes and CSFs.

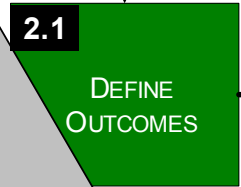
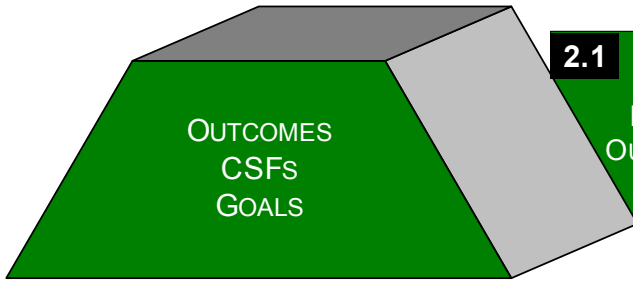
Threats: External events/happenings that may impede your achievement of your Outcomes and CSFs.

HIERARCHY OF STRATEGY

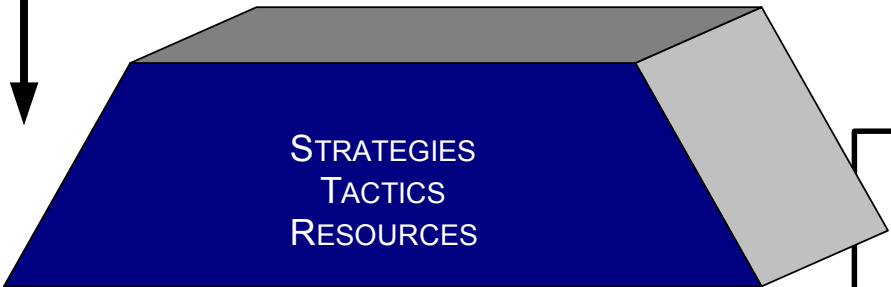
LONG-RANGE TO SHORT-RANGE



1.0 DEVELOP

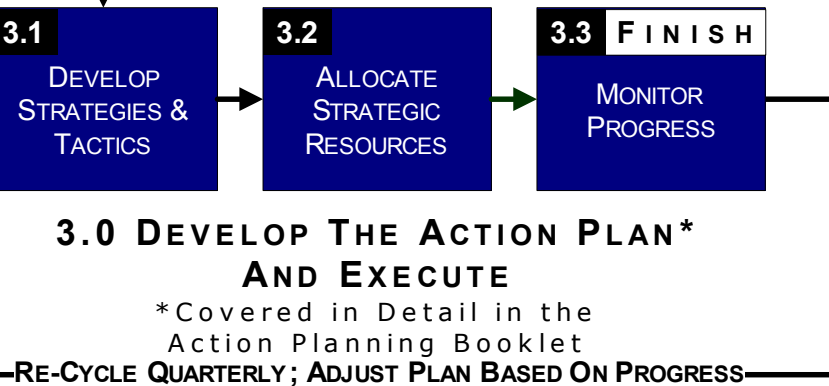
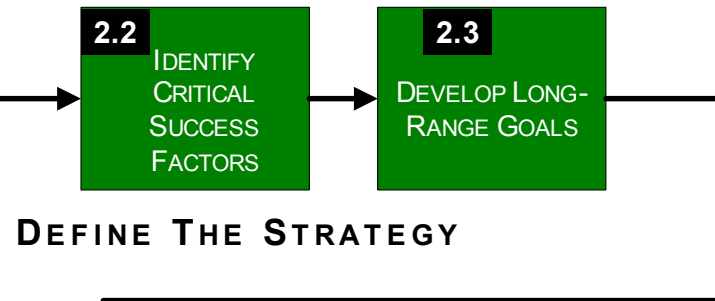
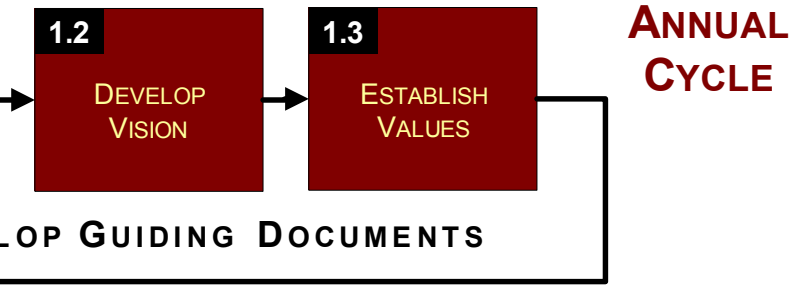


2.0



QUARTERLY
CYCLE

LOGIC INTENT AND PROCESS





Refer to the
CG FIG:

Brainstorming

2. Ask the strategic planning team to identify six to eight potential Goals for the organization. Make sure the Goals are concrete and within the organization's control to attain.
3. If breakout groups are used, report out Goals and consolidate.

AUDIT GOALS

- Ensure the Goals created are satisfactorily aligned with upline plans by auditing them against Outcomes, CSFs, and SWOT.
- Ensure a balance between all of the perspectives: Mission/Operational, Customer/Stakeholder, Internal Processes, People, and Financial/Resources.
- Ensure the Goals meet the criteria outlined in the *Goal Writing Primer* below.

Goal Writing Primer

CREATING GREAT GOALS!

- Avoid the tendency to create too many goals. "If everything is important, then nothing is important."
- Ensure the goal supports the Mission, Vision, Outcomes, and CSFs.
- Ask yourself if you can articulate the *Why* of the goal (i.e., how will we accomplish this goal?).
- Make sure the goal describes a desired state or outcome.

GOALS SHOULD BE SMART

- **S**pecific
- **M**easurable
- **A**ction-oriented
- **R**ealistic
- **T**ime Based

3.0 DEVELOP THE ACTION PLAN AND EXECUTE

In their book *Execution: The Discipline of Getting Things Done*, Larry Bossidy and Ram Charan highlight the major reason most organizations fail in their attempts to implement strategy; they call it the "Execution Gap."

Action Planning therefore must be a component of Execution. This step in the strategic planning process is the key to “operationalizing” the strategy that leadership has so adeptly fashioned. The best, most well-thought-out strategic plans are worthless if they cannot be implemented. The following outlines essential steps in this process.

DETAILED CHECKLIST		TOOLS
3.1	Develop Strategies and Tactics	Goal Worksheet
3.2	Allocate Strategic Resources	Resource Allocation Worksheet
3.3	Monitor Progress and Execution	Project Abstract




STEP 3: Develop the Action Plan and Execute

3.1 DEVELOP STRATEGIES AND TACTICS

Strategies and Tactics tend to be actions that can be accomplished within a 12- to 18-month time frame. They should be tied to resources and specific milestones and deliverables in order to be monitored for progress/accomplishment. Strategies and Tactics are not static and may be modified as circumstances in the strategic environment change. They must, however, be tied closely to a goal or set of goals in the plan and provide some strategic value to the organization.

 **Strategies and Tactics:**

The objective is to get action items into individual day planners

 Ask key leaders and division heads:

“HOW will we accomplish our goals?”

- **Strategies** are specific, quantifiable, assignable sets of actions or projects that lead to accomplishment of a Goal over a specific period of time.
- **Tactics** are specific tasks within a Strategy that can be assigned to an individual or team to accomplish over a short period of time.

DEVELOP STRATEGIES

The leadership group should involve midlevel and front line

Catch-Ball

Leadership and lower level plan teams “pass” proposed plans back and forth for refinement until agreement is reached



Refer to the **Action Planning Booklet** for detailed steps, templates and tips

members of their organization in generating a set of Strategies they know will effectively accomplish their Goals. Strategies can cover one or multiple Goals. Once identified, leadership should assign responsibility to a division or team for each Strategy to be undertaken.

DEFINE TACTICS

Strategies should then be further broken down into Tactics by the division or team assigned responsibility. As the team considers Tactics it should consider:

WHAT ...the Strategy is intended to achieve;

WHY ...achievement is important;

WHO ...will participate in accomplishing the Strategy;

HOW ...the Strategy will achieve the objectives;

WHEN ...deliverables are needed to accomplish the Strategy.

ESTABLISH AN ACTION PLAN

As it formulates its list of Tactics, the planning team should assign each Tactic to a work team or individual along with a milestone date. After a few *catch-ball* cycles, the Action Plan is *approved* by the leadership team in a manner appropriate for the unit.

The *Balanced* Strategic Plan

Comprehensive strategy and measurement balances:

- Past, present, and future performance;
- Near- and long-term strategic challenges;
- Strategic, operational, and tactical considerations;
- Perspectives of product and service, customer effectiveness, financial and budget, human resources, and organizational effectiveness.

A balanced approach to strategic planning acknowledges that good strategy development requires a more holistic view of organizational performance.

3.2



ALLOCATE STRATEGIC RESOURCES

To deploy the strategy, the Planning Team should engage in a process by which resources are identified and allocated for execution. A recommended methodology follows:

IDENTIFY NON-DISCRETIONARY FUNDING

1. The CO and the unit funds manager identify the non-discretionary funding available for Strategic Projects.
2. The planning team creates the ground rules for using the funds to execute Strategic Action Plans.

PRESENT DIVISION ACTION PLAN

1. Division heads present their proposed actions for meeting the goals and estimate the people and funding required to complete the action.
2. The group questions the assumptions and the validity of the proposed action in a facilitated debate. Emphasis should be placed on how it will affect other divisions or planned actions.
3. After all have spoken, the group should break up into sub-teams to further refine their proposal.

REFINE ACTION PLANS AND RESOURCES

1. When groups reconvene, the facilitator should put the plans and resources into a Strategic Budget Worksheet (spreadsheet) for all to see.
2. The process continues through the questioning, refining, and reshaping cycle until consensus is reached (usually requires three to four cycles).
3. Document the final resource allocation in the Strategic Budget Worksheet.



Avoiding shoal waters:

Strong facilitation is required...don't attempt this if the group cannot handle conflict or debate.



Refer to the Organizational Effectiveness Toolset (CD): *Strategic Budget Worksheet*

3.3




MONITORING PROGRESS AND EXECUTION

Monitoring and controlling progress involves collecting and disseminating performance information, issues, and concerns that may negatively affect strategy or tactic accomplishment.


Leaders and other stakeholders need this information to make midcourse corrections about direction and resources. It also provides an inherent method to hold responsible individuals accountable.

EXECUTING STRATEGIC PROJECTS

 Refer to the Organizational Effectiveness Toolset (CD): *Strategic Project Abstract*

1. Some action may be more easily executed as a project. In these cases, proper planning should precede any quantifiable work. The assigned team or individual should plan and document the plan using whatever convention is customary. A project abstract and/or a GANTT Chart are usually sufficient.
2. Whether a project or a single action item, the responsible individual or team shall work closely with Leadership Sponsor to ensure the project requirements are being met, paying particular attention to deliverables and timelines.

CONDUCT STRATEGY/PROGRESS REVIEW MEETINGS

 According to Rudy Giuliani in his book, *Leadership*:

“[Review] meetings are probably the most powerful control device ever devised.”

1. Responsible entities are accountable for all aspects of execution. They and their Leadership Sponsors shall confer on a regular basis in a mutually agreed manner. They shall ensure that all stakeholders are kept informed of progress.
2. Responsible entities should regularly brief leaders. Normally, organizations hold periodic strategic progress reviews. During these briefings, the responsible person explains the current status, presents any new challenges and barriers to progress, and outlines next steps. Midcourse corrections arising from the review session shall be incorporated into the next update to the Action or Project Plan.



USEFUL TOOLS

The following tools – templates, forms, worksheets, calculators, slide decks, facilitator notes, etc. – are included in the following references or on the accompanying compact disc 📀.

Tool	Reference
Strategic Planning Checklist	📀 Organizational Effectiveness Toolset
Mission Statement Worksheet	📀 Organizational Effectiveness Toolset
Five Vision Questions	📀 Organizational Effectiveness Toolset
Values Alignment Worksheet	📀 Organizational Effectiveness Toolset
Affinity Diagram	CG PIG
Stakeholder Map	📀 Organizational Effectiveness Toolset
Brainstorming	CG PIG
Project Planning	📖 Action Planning Booklet
Strategic Budget Worksheet	📀 Organizational Effectiveness Toolset
Strategic Project Abstract	📀 Organizational Effectiveness Toolset
Strategic Project Status Reporting Template	📀 Organizational Effectiveness Toolset



REFERENCES

INTERNAL USCG REFERENCES

U.S. Coast Guard. U.S. Coast Guard Process Improvement Guide (U.S. Coast Guard Quality Institute Staff, 2005).

EXTERNAL REFERENCES



Mintzberg, H. "Crafting Strategy," Harvard Business Review (July–August 1987).

Mintzberg, H., and Quinn, J. The Strategy Process: Concepts, Contexts, Cases (Prentice Hall, Inc., 1991).

Porter, M. Competitive Strategies: Creating and Sustaining Superior Performance (New York: Free Press, 1985).

Rumelt, R. Business Policy and Strategic Management (McGraw-Hill, 1980).

Sink, D., and Tuttle, T. Planning and Measurement in Your Organization of the Future (Norcross, GA: Industrial Engineering and Management Press, 1989).

Stevenson, H. "Defining Corporate Strengths and Weaknesses," Sloan Management Review (Spring, 1976, pp. 51–68).

Kaplan, R., and Norton, D. The Strategy Focused Organization (Harvard Business School Press, 2000).

Crawford, J. The Strategic Project Office (Marcel Dekker, Inc., 2002).

Sheridan, B. Policy Deployment: The TQM Approach to Long-Range Planning (ASQC Quality Press, 1993).

Bossidy, L., and Charan, R. Execution: The Discipline of Getting Things Done (Crown Business, 2002).

U.S. Department of Commerce. Baldrige National Quality Program, Criteria for Performance Excellence (National Institute of Standards and Technology, 2006).



CCH Business Owner's Toolkit. <http://www.toolkit.cch.com>

The Daily Leader's Essential Toolkit. <http://www.linkageinc.com>

Curious Cat Management Improvement Connections.
<http://www.curiouscat.com>

TERMS AND DEFINITIONS



Planning and measurement are critical to all organizational levels – they communicate priorities, gauge performance, and enable improvement.

Critical Success Factors (CSFs): Those items or issues that you must do absolutely right, or manage well, if you are to achieve the Outcomes. CSFs are generally:

- Entirely, or least significantly, within the organization's control;
- Measurable – they define an organization's leading indicators;
- Strongly correlated with an organization's overall strategy.

Goals: Broad, long-term intentions that help the organization move toward achieving its Outcomes. Goals should:

- Be discrete – focus on a single area of emphasis;
- Span several years, usually two to five years in length;
- Be Specific, Measurable, Action-oriented, Realistic, and Time-based (SMART)

Mission Statement: A statement that describes the purpose of the organization or its reason for being. It stays in effect for an extended period of time. The mission communicates:

- What customers are served;
- How the customers are served;
- What is done.

Outcomes: Observable results that provide evidence an organization is moving toward its Vision and achieving its Mission. Outcomes are:

- Written from the stakeholder's point of view;
- Describe employee, supplier, or customer behavior;
- Measurable – they define an organization's lagging measures.

Strategies: Specific, quantifiable, assignable sets of actions or projects that lead to accomplishment of a goal over a specific period of time.

SWOT Analysis: An analysis of an organization's strengths and weaknesses, and the opportunities and threats it faces.

Strengths: The internal aspects of the organization that help in achieving the Outcomes and CSFs.

Weaknesses: The internal aspect of an organization that impede the ability to achieve the Outcomes and CSFs.

Opportunities: External events/happenings that may help an organization achieve its Outcomes and CSFs.

Threats: External events and happenings that may impede an organization's achievement of its Outcomes and CSFs.

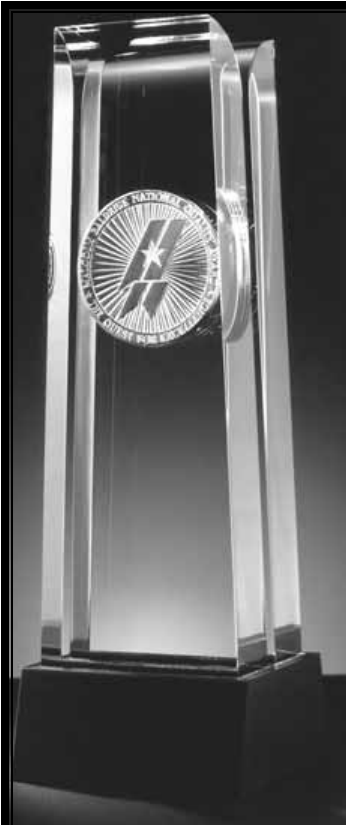
Tactics: Specific actions that can be assigned to an individual or team to accomplish over a short period of time. They:

- May be a task within a project;
- Should include the steps to be taken;
- Should include a completion date.

Values: Beliefs to which an organization adheres and aspires. Values drive decisions, actions, and the suitability of the organizational direction (Values = Guiding Principles = What We Stand For).

Vision: Provides direction and refers to the category of intentions that are broad, all inclusive, and forward thinking. The Vision should:

- Provide aspirations for the future;
- Provide the mental image of some desired future state;
- Appeal to the emotions and aspirations of all the troops.



BALDRIGE FOCUS

How does your organization conduct its Strategic Planning process, who are the key participants, and how does it identify potential blind spots?

What are your short- and longer-term planning time horizons? How are they set and addressed in the process?

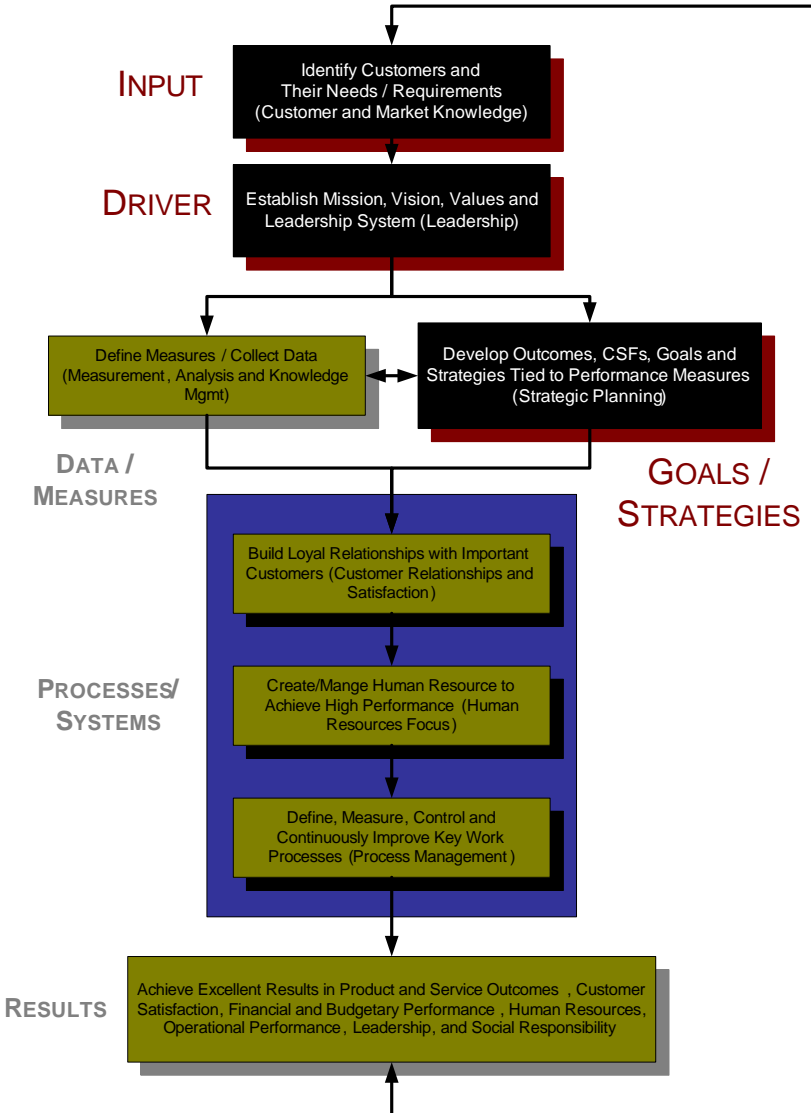
How do you collect and analyze relevant data and information pertaining to key factors and ensure that strategic planning addresses the factors listed below:

- strengths, weaknesses, opportunities, and threats;
- early indications of major shifts in technology, missions, competition, or the regulatory environment;
- long-term sustainability and business continuity in emergencies; and
- ability to execute the strategic plan.

What are your performance projections over the short- and long-term planning horizons? How do they compare with competitors, benchmarks, and goals?

The Strategic Planning Category examines how your organization develops strategic objectives and action plans. Also examined are how your chosen strategic objectives and action plans are deployed and how progress is measured.

BALDRIGE LINK



AIM Consulting Associates, LLC

5 Shaw's Cove, Suite 204

New London CT 06320